

ATTORNEY DOCKET NUMBER

2458-4042US5

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.51)

10/019342  
TBA

INTERNATIONAL APPLICATION NO.  
PCT/US00/17540

INTERNATIONAL FILING DATE  
26 June 00 (26.06.00)

EARLIEST PRIORITY DATE CLAIMED  
25 June 99 (25.06.99)

TITLE OF INVENTION

METHODS FOR OBTAINING AND USING HAPLOTYPE DATA

APPLICANT(S) FOR DO/EO/US

Richard Rex DENTON, Richard S. JUDSON, Gualberto RUANO, Joel Claiborne STEPHENS,  
Andreas K. WINDEMUTH, and Chuanbo XU

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and 21 indicated below.
4. ☒ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11. to 16. below concern document(s) or information included:**

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 154(d)(2) with copy of Statement Under 37 CFR Section 1.821(f) and WIPO Standard ST.25 as filed with the International Bureau of WIPO.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).

531 Rec'd PCT/P 21 DEC 2001

APPLICATION NO. (if known, see 37 C.F.R. 1.51)

INTERNATIONAL APPLICATION NO.

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PCT/US00/17540

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20. ☒ Other items or information:

Copy of published PCT/US00/17540, International Publication Number WO 01/01218;

Notification of Receipt of Demand (Form PCT/IPEA/402);

Published Search Report;

Notification of Transmittal of International Search Report (Form PCT/ISA/220)

International Search Report (Form PCT/ISA/210);

Notice Informing the Applicant of the Communication of the International Application to the Designated Offices (Form PCT/IB/308);

Notification of Receipt of Record Copy; and

Notification Concerning Submission or Transmittal of Priority Document (Form PCT/IB/304).

U.S. APPLICATION NO. (if known) see 37 CFR 1.51 <div style="font-size: 2em; font-weight: bold; text-align: center;">10/019342</div> <div style="text-align: center;">TBA</div>		INTERNATIONAL APPLICATION NO. <div style="text-align: center; font-weight: bold;">PCT/US00/17540</div>		ATTORNEY'S DOCKET NUMBER <div style="text-align: center; font-weight: bold;">2458-4042US5</div>	
21. <input checked="" type="checkbox"/> The following fees are submitted: <b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5) ):</b> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2) paid to USPTO and International Search Report not prepared by the EPO or JPO.....\$1000.00  International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO.....\$860.00  International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2) paid to USPTO...\$710.00  International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33 (1) - (4).....\$690.00  International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1) - (4).....\$100.00  <div style="text-align: center; font-weight: bold;">ENTER APPROPRIATE BASIC FEE AMOUNT =</div>				<div style="text-align: center; font-weight: bold;">CALCULATIONS      PTO USE ONLY</div>	
Surcharge of \$130 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).					
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	48 - 20 =	28	X \$18.00	\$504.00	
Independent claims	10 - 3 =	7	X \$84.00	\$588.00	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$280.00	\$280.00	
TOTAL OF ABOVE CALCULATIONS =				\$2,062.00	
<input type="checkbox"/> Applicant claims small entity status. See 37 C.F.R. 1.27. The fees indicated above are reduced by 1/2.				\$	
SUBTOTAL =				\$2,062.00	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	
TOTAL NATIONAL FEE =				\$2,062.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31).      \$40.00 per property X =				\$	
TOTAL FEES ENCLOSED =				\$	
				Amount to be refunded:	\$
				charged:	\$
a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed. b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. 13-4500, ORDER NO. 2458-4042US5 in the amount of \$2,062.00 to cover the above fees. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 13-4500, ORDER NO. 2458-4042US5 . A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038. <b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.					
SEND ALL CORRESPONDENCE TO:  Morgan & Finnegan LLP 345 Park Avenue New York, NY 10154-0053 Telephone: 212-758-4800 Telecopier: 212-751-6849					
Signature _____ <div style="font-size: 1.5em; font-family: cursive;">James P. Demers</div> James P. Demers					
Registration No. 34,320					

DOCKET NO. 2458-4042US5

IN THE UNITED STATES RECEIVING OFFICE (RO/US)

INTERNATIONAL APPLICATION NO PCT/US00/17540	INTERNATIONAL FILING DATE 26 June 2000 (26.06.00)	PRIORITY DATE CLAIMED 25 June 1999 (25.06.99)
TITLE OF INVENTION METHODS FOR OBTAINING AND USING HAPLOTYPE DATA		
APPLICANT R. Rex DENTON, Richard S. JUDSON, Gualberto RUANO, J. Claiborne STEPHENS, Andreas K. WINDEMUTH, and Chuanbo XU		

Commissioner of Patents  
BOX PCT  
Washington, D.C. 20231

ATTENTION: DO/EO/US

VERIFIED CERTIFICATION OF EXPRESS MAILING DATE  
(INTERNATIONAL APPLICATION (37 CFR 1.10(c)))

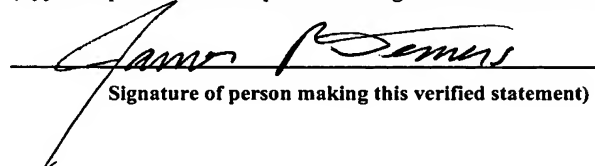
I declare that on December 21, 2001 I deposited with the United States Postal Service in an envelope "Express Mail, Post Office to Addressee", bearing Label Number EL853254176US, addressed to the "Commissioner of Patents, BOX PCT, Washington, D.C. 20231" and having an express mail certification which I executed, the following papers:

1. Transmittal Letter to United States Designated/Elected Office (DO/EO/US)
2. Preliminary Amendment
3. Copy of published PCT/US00/17540, International Publication Number WO 01/01218
4. Notification of Receipt of Demand (Form PCT/IPEA/402)
5. Published Search Report
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8. Notification Concerning Submission of Priority Document (Form PCT/IB/304)
9. Notification of Receipt of Record Copy (PCT/IB/301)
10. Notice Informing the Applicant of the Communication of the Int'l. Application (PCT/IB/308)
11. Return Receipt Postcard

A copy of these papers from the file of the application is attached.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application of any patent issuing thereon.

James P. Demers  
(Typed or printed name of person making this verified statement)

  
Signature of person making this verified statement)

Date: December 21, 2001